

UNITED STATES DEPARTMENT OF AGRICULTURE

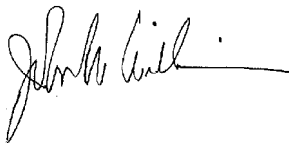
Farm Service Agency
Washington, DC 20250

Notice PM-2329

For: FFAS Employees Under the 5-Tier Rating System

FY 2002 Annual Performance Appraisals for Offices Under the 5-Tier Rating System

Approved by: Deputy Administrator, Management



1 Overview

A

Purpose

This notice:

- applies to employees under the 5-tier rating system in the following offices:
 - RMA Kansas City Offices
 - FSA St. Louis Office
 - State Offices
 - County Offices (Federal employees)
 - FAS Offices (except overseas)
- provides employees and supervisors with information needed to **communicate** and submit the annual performance appraisal for the rating period ending September 30, 2002, **by October 25, 2002**, (FAS) and **by October 31, 2002** (FSA and RMA)
- reminds employees and supervisors that an employee must serve under elements and standards in the current position for **90 calendar days** or more before supervisors complete the employee's performance appraisal.

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Disposal Date

March 1, 2003

Distribution

All FFAS employees under the 5-tier rating system

1 Overview (Continued)

B

Departure/ Interim Ratings

Supervisory Change: Each individual who supervised an employee for 90 calendar days or more during the appraisal period should **discuss** the performance with the employee, prepare feedback comments, and forward them to the current rating official.

Position and Supervisory Change: When an employee who has occupied a position for at least 90 calendar days leaves that position, the supervisor rating official should **discuss** and prepare feedback comments on the employee's performance and forward them to the new supervisor/rating official.

Position Change Without a Supervisory Change: When an employee changes position, but retains the same supervisor (e.g., the employee was promoted or reassigned within the same organization), the supervisor should **discuss** and prepare written documentation of the employee's performance in the previous position. This information must be considered in the employee's rating of record in the previous position.

C

Labor Relations Obligations

Where exclusive representation exists, this notice does not apply until bargaining takes place. Where contract language addresses these policies and procedures for bargaining unit employees, contract language prevails.

2 Supervisor Action

A

Obtaining and Completing AD-435 and AD-435A and B

Supervisors shall:

- use WordPerfect versions of AD-435 and AD-435A and B
 - except for item 2, complete AD-435 according to the instructions of the form
 - enter Agency, program, and division or office, in AD-435, item 9
 - sign and print name in each signature block on the applicable AD-435
 - complete and distribute AD-435 and AD-435A and B **by October 25, 2002**, (FAS) and **by October 31, 2002** (FSA and RMA).
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2 Supervisor Action (Continued)

B

Reviewing Performance

Supervisors shall review employee performance by:

- ensuring that the employee has served under elements and standards in their current position for 90 calendar days or more
- if necessary, obtaining written documentation of the employee's performance under a previous position if:
 - the employee is on detail for 120 calendar days or more
 - a change in supervisor occurs and the employee works under a new position for 90 days or more
 - the employee changes positions and serves in the new position for 90 calendar days or more
 - the employee transfers outside FFAS

Note: The former supervisor should provide a copy of AD-435 to the employee's new supervisor.

- the employee performs collateral duties, then the rating shall reflect both of the following:
 - primary duties of the position
 - primary collateral duty
- checking the appropriate rating level for each performance element.

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2 Supervisor Action (Continued)

C

Accountability for AD-435

Supervisors shall ensure that AD-435:

- contains all elements, as reflected on AD-435A and B
- designates critical and noncritical elements
- includes weights that are properly assigned; that is, 2 points for critical and 1 point for noncritical

Note: EEO/CR element or elements incorporating EEO/CR standard must be a **critical** element weighted as 2.

- totals are added correctly in items 15E through 15H
 - summary rating is properly designated using decision table in item 16B
 - item 17 is checked
 - contains the required signatures and dates.
-

D

Providing Additional Documentation

Supervisors shall provide additional documentation by doing either of the following:

- completing AD-435A and B, item 10, “Accomplishments”
 - attaching a separate accomplishment statement for each element rated, “Does Not Meet Fully Successful”.
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2 Supervisor Action (Continued)

E

Completing AD-435

Supervisor shall complete AD-435 according to this table.

Step	Action
1	Transfer the performance elements and appropriate rating level information from AD-435A and B.
2	Obtain the reviewing official's approval on AD-435.
3	Discuss the approved rating and basis for the rating with the employee.
4	Forward AD-435 and AD435A and B to HRD, KCAO, or State Offices according to paragraph 4.

3 Reviewer and Employee Action

A

Reviewer Action

Reviewers shall:

- discuss the performance and rating of employees with superior
 - change the ratings, if appropriate
 - sign AD-435 certifying approval of original or revised ratings
 - return Ad-435 to the supervisor for distribution according to paragraph 4.
-

B

Employee Action

Employees shall:

- sign AD-435 certifying receipt of the rating

Note: If the employee refuses to sign the rating, the supervisor shall:

- indicate the refusal on AD-435, item 18
 - forward AD-435 to the appropriate servicing personnel office according to paragraph 4..
 - complete AD-435, item 17 about USDA regulations on employee's responsibilities and conduct.
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4 Distributing AD-435 and AD-435A and B

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Distribution

Supervisors shall distribute the completed performance appraisals according to this table.

Step	Action
1	<p>Forward the original, completed copies of AD-435, and AD-435A and B to either of the following servicing personnel offices by October 25 (FAS) or October 31, 2002 (FSA and RMA):</p> <ul style="list-style-type: none"> • HRD, Performance Management, Benefits, and Awards Branch, Stop 0595 • KCAO, Personnel Division (PD). <p>Exception: State Offices shall maintain the original, completed copies.</p>
2	<p>Provide the employee with 1 copy of:</p> <ul style="list-style-type: none"> • AD-435 • AD-435A and B.
3	<p>Retain 1 copy of the following for the supervisor's file:</p> <ul style="list-style-type: none"> • AD-435 • AD-435A and B.

5 Unratable Employees

A

Rating

Requirements

To be rated, an employee **must** have:

- elements and standards established on AD-435A and B
- been under signed elements and standards for at least **90 calendar days**.

Note: If the employee disagrees with elements and standards and refuses to sign them, the supervisor should note this in the employee's signature block on AD-435A.

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6 Additional Information

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Contacts

If there are questions about rating employees, supervisors may contact the appropriate servicing personnel office according to this table.

IF the supervisor is located in...	THEN contact...
FAS	Performance Management, Benefits, and Awards Branch, HRD at 202-418-8973 or TTY 202-418-9116.
1 of the following: <ul style="list-style-type: none"> • APFO • KCCO • KCAO • KCFO • KC-ITSTO • KC-ITSDO • RMA-KC • State Offices 	KCAO, PD, Employee and Labor Relations Branch at 816-926-6643 or TTY 816-926-3063.
County Office	State Office.

B

Filing Grievances

Nonbargaining unit employees may grieve their performance appraisals under the Agency grievance procedure. Bargaining unit employees must use the negotiated grievance procedure.
